

U.S. Department of Energy Office of Legacy Management



Procedure: 200.4

Effective: 2/9/06

SUBJECT: RECORDS MANAGEMENT

1. PURPOSE. To provide the U.S. Department of Energy (DOE) Office of Legacy Management (LM) with a framework for records management practices and instructions for addressing records lifecycle requirements, best practices in records management, and record areas of focus.

This procedure is a freestanding document within the LM Directives Management System and is also Chapter 1 of the LM Records Management Program Manual (see Attachment A. – LM Records Management Program Manual).

2. CANCELLATION. None

3. REFERENCES.

- a. 5 *United States Code* (U.S.C.) 552, Freedom of Information Act
- b. 5 U.S.C. 552a, Privacy Act
- c. 18 U.S.C. 2071, Removal or Destruction of Federal Records
- d. 40 U.S.C. 1401, Clinger-Cohen Act of 1996
- e. 44 U.S.C. 101, National Archives and Records Administration (NARA) Act of 1984
- f. 44 U.S.C. Chapters 29-35, Records Management
- g. 10 *Code of Federal Regulations* (CFR) 830.120, Quality Assurance Requirements
- h. 10 CFR 1004, Freedom of Information, DOE Guidance
- i. 10 CFR 1008, Records Maintained on Individuals (Privacy Act), DOE Guidance

- j. 36 CFR Chapter XII – Subchapter B, Records Management
- k. 41 CFR 201-6 to 201-11, Management and Use of Information and Records
- l. DOE Order 200.1, Information Management Program
- m. DOE Order 414.1C, Quality Assurance
- n. DOE Order 470.4, Safeguards and Security Program
- o. DOE Order 471.2-1C Chg. 1, Classified Matter Protection and Control Manual
- p. DOE Guide 1324.5B, Implementation Guide for 36 CFR Chapter XII – Subchapter B, Records Management
- q. DOE Form 1324.8, Records Transfer
- r. DOE Order 5480.19, Chg. 2, Conduct of Operations Requirements for DOE Facilities
- s. LM Procedure 200.1, Vital Records
- t. LM Procedure 200.1-1, File Plan
- u. LM Procedure 200.1-3, Processing Litigation Requests
- v. LM Procedure 200.2, Electronic Records
- w. LM Procedure 341.1, Energy Employees Occupational Illness Compensation Program Act (EEOICPA) Processing
- x. DOE Standard 4001-2000, Design Criteria Standard for Electronic Records Management Software Applications
- y. DOE Chief Information Officer (CIO) memo RM-2003-02, Records Storage Requirements
- z. Agency Recordkeeping Requirements: A Management Guide, NARA, 1995
- aa. Expanding Transfer Options for Electronic Records, NARA, December 2002
- bb. Managing Audiovisual Records: An Instructional Guide, NARA, 1999
- cc. Records Management Self-Evaluation Guide, NARA, 2001 Web Edition

4. DEFINITIONS.

- a. Active Records -- Records required for day-to-day operations and maintained by the generating organization.
- b. Authentication -- Confirming information contained within a document is accurate, complete, and appropriate. Authentication ensures that the record do not result from manipulation, substitution, or falsification occurring after it was made or received (i.e., the record is what it purports to be, free from tampering or corruption). Authentication is synonymous with Validation.
- c. Case Files -- Records, regardless of media, documenting a specific action, event, person, place, project, or other matter. Include personnel, project, and transaction files, which are types of case files.
- d. Central File -- Files accumulated by several offices or organizational units and maintained and managed in one location. Also called Centralized Files.
- e. Correspondence Control File -- Copies of LM's files and all modifications, deliverables, and all incoming and outgoing correspondence with DOE, state and local agencies, and the public. This file is the property of LM and is maintained by the Administrative Assistant to the Director.
- f. Disposition -- Actions taken regarding records no longer needed to conduct regular, current business of the agency. Title 44 U.S.C. 2901(5) defines records disposition as any activity with respect to (1) disposal of temporary records no longer needed for the conduct of business by destruction or donation to an eligible person or organization outside of Federal custody in accordance with the requirements of 36 CFR 1228, (2) transfer of records to Federal agency storage facilities or records centers, (3) transfer to the National Archives of the United States of records determined to have sufficient historical or other value to warrant continued preservation, or (4) transfer of records from one Federal agency to any other Federal agency in accordance with the requirements of 36 CFR 1228.
- g. Document -- Recorded information regardless of physical form or characteristics. Often used interchangeably with the term Record.
- h. File -- An accumulation of records or nonrecord materials arranged according to a plan. Sometimes an accumulation of personal papers so arranged. In electronic records, a file is an organized collection of related data, usually arranged into logical records that are stored together and treated as a unit.

- i. File Break -- Breaking, or ending, files at regular intervals, usually at the close of a fiscal or calendar year, to permit their disposal or transfer in complete blocks and, for correspondence files, to permit the establishment of new files. Case files are generally cut off at the end of the year in which the case is closed. Also called Cutoff or File Cutoff.
- j. File Plan -- A comprehensive outline specific to a project, organization, or function that defines its records series, file organization, records custodians, active file locations, file transfer instructions, file retention and disposition instructions, and other project- or organization-specific instructions that provides guidance for effective management of its records.
- k. File Station -- Any location in an organization at which records are maintained for current use.
- l. Inactive Records -- Records that must be retained, but are accessed infrequently.
- m. Inventory -- A survey of agency records and nonrecord materials that is conducted primarily to develop records schedules and to identify records management problems, such as improper applications of recordkeeping technology.
- n. Lifecycle of Records -- The management concept that records pass through three stages: creation or collection, maintenance and use, and disposition.
- o. Nonrecord Materials -- U.S. Government-owned informational materials excluded from the legal definition of records or not meeting the requirements of that definition. Includes extra copies of documents kept only for convenience or reference, stocks of publications and of processed documents, and library or museum materials intended solely for reference or exhibition. Also called Nonrecords.
- p. Permanent Records -- Records appraised by NARA as having sufficient historical or other value to warrant continued preservation by the Federal Government beyond the time they are needed for administrative, legal, or fiscal purposes. Sometimes called Archival Records.
- q. Personal Papers -- Documentary materials belonging to an individual that are not used to conduct agency business. Related solely to an individual's own affairs or used exclusively for that individual's convenience. Must be clearly designated as such and kept separate from the agency's records. Also called Personal Files or Personal Records.
- r. Program (Project) Records -- Records documenting the unique, substantive functions for which an agency is responsible, in contrast to administrative records.
- s. Quality Record -- A completed document or group of documents that furnishes evidence to the quality of items or activities affecting a quality process. Documents shall be prepared, reviewed, approved, issued, used, and revised to describe processes, specify

requirements, or establish design. Records of this type shall be prepared, identified, reviewed, approved, and maintained.

- t. Reading Files -- Outgoing correspondence records arranged chronologically, in contrast to those arranged by subject. Sometimes called chronological (chron) or day files.
- u. Records -- All books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the U.S. Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Federal government or because of the informational value of the data in them (44 U.S.C. 3301).
- v. Records Liaison Officer (RLO) -- A member of the Archives and Information Management (AIM) Team designated by the AIM Supervisor. The RLO is responsible for overseeing the LM records management program in cooperation with the DOE Records Management Officer.
- w. Records Points of Contact (POCs) -- Members of the AIM Team who work with the RLO to support records management activities for their respective sites and assigned organizations.
- x. Records Schedule -- A document providing mandatory instructions for what to do with records (and nonrecord materials) no longer needed for current Government business, with provision of authority for the final disposition of recurring or nonrecurring records. Also called Records Disposition Schedule, Records Control Schedule, Records Retention Schedule, or Schedule.
- y. Records Series -- File units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use.
- z. Sensitive Information -- Classified or Sensitive Unclassified Information. (See also Sensitive Unclassified Information.)

- aa. Sensitive Unclassified Information -- Information for which disclosure, loss, misuse, alteration, or destruction could adversely affect national security or governmental interests. For the purposes of this procedure, Sensitive Unclassified Information includes Unclassified Controlled Nuclear Information, OOU information, and Proprietary information.
- bb. Series -- File units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use. Also called a Record Series. Generally handled as a unit for disposition purposes.
- cc. Temporary Records -- Records approved by NARA for disposal, either immediately or after a specified retention period. Also called Disposable Records.
- dd. Vital Records -- Records essential to the continued functioning or reconstitution of an organization during and after an emergency, including those records essential to protect the rights and interests of that organization and of the individuals directly affected by its activities.

5. QUALITY CONTROL.

- a. The LM Records Liaison Officer (RLO) or designee:
 - (1) Conducts periodic reviews of the LM Records Management Program to ensure that employees adequately understand and implement records management procedures and practices. Examination of LM Records Management Program effectiveness is an essential part of its success. The RLO will conduct these reviews with two objectives:
 - Recommendations pertaining to possible areas where the organization can improve its records management procedures or practices; and
 - Identification of where additional training is needed to help the organization implement and maintain an effective records management program.

The RLO coordinates scheduling the reviews with the Records Point of Contact (POC) and the contractor Records Lead. The RLO will provide the contractor with the results of the review. Depending on the severity of the problems found or suggestions for improvements that need to be made, the contractor may be required to provide a formal response.
 - (2) Conducts an annual Self Assessment and reports findings to the DOE Records Officer.

- (3) Reviews this procedure as necessary (at least annually) to accommodate changing conditions within LM and to ensure compliance with applicable laws, regulations, and DOE requirements.
 - b. The Records POC responsible for specific groups of records:
 - Inspects those groups of records annually. The inspection includes an assessment of the records' physical condition and disposition as well as conformance to the appropriate records schedules.
 - Inspects hard copies of electronic records as received to ensure that all required transmission and receipt data are included with a record copy.
 - Conducts an annual inspection of other records, including books, maps, photographs, film, machine-readable materials, or other documentary materials, to ensure they continue to be in acceptable physical condition and adequately protected in conformance with the appropriate records schedules.
6. RESPONSIBILITIES.
 - a. The LM Director is responsible for:
 - Establishing a records management program in accordance with Federal laws and regulations.
 - Ensuring the records necessary to document the LM programs are created, received, and managed in a cost-effective and efficient manner.
 - Designating a Program Records Official (PRO) with signature authority to provide management support and oversight of the LM Records Management Program.
 - b. The Director, Office of Business and Resource Management (LM-10) provides the necessary management support and oversight of the LM Records Management Program.

- c. The Supervisor of Archives and Information Management serves as the PRO providing the primary point of contact between the DOE Records Officer in the Office of Chief Information Officer (OCIO), the support contractor Records Lead, and the Contracting Officer. This position:
- Designates RLOs to provide management support and oversight of the LM Records Management Program and to implement this procedure.
 - Provides the necessary interface with the support contractor to ensure a cost-effective approach to records management in accordance with Federal records management requirements, DOE guidelines and directives, and this procedure.
 - Acts as the PRO with signature authority.
- d. The RLO implements the LM Records Management Program and ensures adherence to this procedure and related documentation. The RLO:
- Ensures that all personnel receive the proper records management training.
 - Conducts assessments of the LM Records Management Program.
 - Ensures compliance with Project and Quality Records Management Plans.
 - Develops and implements as necessary quality assurance records management guidance for all LM organizations, contractors, or related missions in accordance with DOE Order 414.1C, Quality Assurance. If additional guidance is needed for the management of other quality records, that guidance should be provided in a specific quality assurance plan.
- e. The Records POC implement this procedure and related records management documentation for their respective site and assigned organizations. The Records POC:
- Ensures all record material is filed in established site central filing stations in a timely manner.
 - Ensures records are dispositioned properly at the end of each fiscal year or at other times, if necessary.
 - Answers staff questions on records management issues and confers with the RLO if necessary to gather additional information.

A Records POC is designated for each of these geographic locations:

Location	Responsibility
Washington, DC/Germantown, MD	LM-1, LM-4, LM-5, LM-20, LM-30, LM-40
Morgantown, WV/Pittsburgh, PA	LM-6, LM-10
Grand Junction, CO	LM-50

- f. LM Personnel manage the records they create and receive in a cost-effective and efficient manner.
- g. The support contractor Records Lead:
 - Implements a records management program in accordance with this procedure, DOE guidelines, and applicable Federal regulations.
 - Maintains the LM File Plan.
7. TRAINING REQUIREMENTS. LM Personnel creating, using, or maintaining records should be trained to the applicable requirements of this procedure. Annual refresher sessions are required of all employees. LM-10 records staff will provide internal and on-the-job-training to employees with an identified need. Special external training is not required but is encouraged. Specific training guidelines are available in the LM Records Management Training Plan.
8. DOCUMENT CONTROL.
 - a. The current and official controlled hard copy version of this document shall reside with the Directives Manager.
 - b. The Directives Manager shall place an electronic version of this document on the LM Intranet for employee use.
 - c. Printed hard copies of this document shall be considered information-only copies.
9. PROCEDURE.

This procedure supports LM's commitment to comply with requirements in DOE Guide 1324.5B and other DOE guidance documents. Attachment B. contains the Table of Contents of the Guide to assist staff with various records management tasks, eliminating the need to rewrite detailed instructions. A copy of the [implementation guide](#) is available in the Records Management area of the LM Intranet.

Records Lifecycle Description

The lifecycle guidance in this procedure applies to all types of records created or received by LM regardless of media (see Attachment C. – Records Lifecycle). LM's Records Management lifecycle approach is illustrated in the flowchart in Attachment D. – Records Management Flowchart.

a. Creation or Identification

(1) Identification of Record/Nonrecord Material

LM Personnel:

- (a) Create or receive records to provide adequate and proper documentation of LM activities and to substantiate work performed.
- (b) Consider several factors when determining whether a document created or received is a record. These factors include:
 - The historical importance of the information contained in the document as a specific and original source.
 - The potential need for the information in the document to support a legal claim or to verify a contractor, subcontractor, or DOE position.
 - The potential value of the information in the document for investigations or audits.
 - The value of the information in the document to support other records (see Attachment E. – What is a record?).
- (c) Maintain only one official copy of each record in most instances. However, there are instances where multiple copies of a document are maintained as records because of different retention and disposition requirements. For example, the LM Federal and contractor procurement organizations each maintain a record copy of a purchase order, but inclusion into a site-specific file may also be required to preserve the document as a project or site record.
- (d) Dispose of nonrecord material as soon as the need for that material has passed. Unnecessary delays in disposing of such materials increases the need for onsite storage and adds to administrative and overhead costs. Examples of nonrecords include:

- Copies of documents or correspondence such as reading files, information copies, and duplicates of documents of which official copies are retained as records in another area.
- Follow-up or suspense copies of correspondence.
- Drafts of reports and correspondence.
- Items of short-term value that, after the action has been completed, have neither evidential nor informational value. These items include correspondence, including e-mail messages and facsimile machine transmissions.
- Library materials, catalogs, stocks of publications, and reproduced documents kept for reference.
- Routine printed matter, such as routing slips, work sheets, rough drafts, and transmittal letters that do not add new information to the transmitted material or have neither evidential nor informational value.
- Reading files kept as references to outgoing correspondence when the original copies have been placed in the official record keeping system or file.
- Personal papers, which include documents of a private or nonofficial nature, that pertain only to an individual's personal affairs. These must be filed separately from the official records.

Note: Nonrecord material may later become record material. Current nonrecord material should be reanalyzed whenever circumstances dictate. When matters pertaining to official business are discussed in private personal correspondence, that portion of the correspondence pertaining to business must be extracted and filed as a record. Every effort should be made to keep references to official responsibilities out of documents pertaining to personal affairs.

(2) Maintaining Legibility and Reproducibility

LM Personnel:

- (a) Ensure the records they create are legible, reproducible (e.g., suitable for microfilming, photocopying, or digitizing), accurate, and complete. Records must be administratively and technically complete to have value.

- (b) Correct any record document that is not legible, reproducible, accurate, or complete before distributing it to others. The following guidelines ensure that integrity, legibility, and reproducibility are maintained:
- Correct records by drawing a single line through the error and initialing and dating the correction with permanent black or blue ink.
 - Do not use correction fluid, tape, or other product that obscures the original information.
 - Maintain initials that are used on records, such as concurrences, for the life of the record.
 - Transcribe handwritten records if the clarity of the original is questionable. Original handwritten documents should be attached to the reproduced document.
 - Use ink that is reproducible, permanent, and preferably colored black or blue. Lead pencil is not acceptable for records.
 - Refrain from using stamps, bar code labels, or other marks that intersect or obliterate text.
 - File the original record if possible. When the record is not an original, the copy should not be more than two generations from the original (i.e., a copy of a copy of the original).
 - Ensure records are administratively and technically complete. Incomplete information within a record reduces its overall value.
- (c) Ensure that Federal and any pertinent state or regulatory agency authenticity requirements are met. The authentication may be in the form of a signature, initials, or stamps and may appear on construction drawings, quality records, and correspondence that gives direction. Initials and stamps are valid only if concurrences of corresponding signatures and names are maintained and retrievable for the life of the authenticated records and if the log is reviewed periodically to ensure accuracy.

(3) Special Media

LM Personnel consult with the RLO before using video or photographic media to document activities. This ensures that the media have a life expectancy that will store the information through the end of its retention period and are of a format

acceptable by NARA if the records are later sent to a Federal Records Center for permanent retention (see Attachment F. – Special Media).

(4) Special Record Types

LM Personnel observe additional precautions when dealing with special record types, which include epidemiologic, moratorium, Privacy Act, classified, sensitive, proprietary, quality, and vital (see Attachment G. – Special Record Types).

b. Maintenance and Use**(1) Official Records Collection**

The Records POC:

- (a) Maintains the official records collection within the originating LM organization, while the appropriate representative with the organization receiving the record also may maintain a nonrecord copy. In general, when information is transmitted between organizations, the organization responsible for the work maintains the record copy. Documents received from an outside source are generally the responsibility of the LM receiving organization.
- (b) Performs periodic inventories of existing holdings to identify and quantify all official records maintained by the organization.

(2) File Plan

(a) The RLO:

- Creates and maintains a site specific and LM organizational file plan to identify its records, file requirements, Record POC, active file locations, file retention and transfer instructions, and disposition authorities. The file plan should provide guidance to organization personnel so they can maintain, retrieve, and disposition their records.
- Ensures the current file plan version is available electronically on the LM Intranet.
- Coordinates file plan development or revisions with the responsible Records POC.

(b) The Records POC:

- 1 Protects records from inadvertent loss or damage during all phases of the record lifecycle, and considers the consequences of any loss or damage when addressing protection and storage needs.
- 2 Stores records to prevent damage from light, moisture, heat, and pest infestations. All records maintained in hard-copy form must be firmly attached to binders or placed in folders, envelopes, or boxes for storage in file cabinets or on shelves.

Note: Requirements for records storage are published in DOE CIO memo RM-2003-02, Records Storage Requirements. In

addition, NARA requirements, The Facility Standards for Records Storage Facilities (Subpart K of 36 CFR 1228) should be considered.

- 3 Maintains the organization's records in central file locations to the maximum extent possible. The use of central files helps ensure effective retrieval, maintenance, and disposition of records when no longer needed. They also mitigate the accidental removal or destruction of records when employees leave an organization.
- 4 Considers the following criteria when evaluating storage and protection parameters:
 - Storage of records in predetermined locations.
 - Fire protection and fire detection systems.
 - Temperature and humidity controls.
 - Management of records maintained in satellite or remote locations.
 - Rules governing access to, control of, and removal of records from the files.
 - Security barriers and alarms appropriate to protect records. Generally, administrative records require minimum-level protection, project or site records require intermediate-level protection, and critical and irreplaceable records require maximum-level protection. In all three cases, however, the RLO may specify additional or less access control for individual record series (see Attachment G. – Special Record Types).

(c) LM Personnel:

- 1 Maintain records according to the LM File Plan. The file codes used in the working file plan must be applied to the files to ensure management of the records throughout their lifecycle. Nonrecords must be segregated from records in an easily visible arrangement.
- 2 Designate applicable record series or numbers for records they create. The file name or number should be included in the distribution list, if the list is part of the record, or placed on the face of the record in the upper or lower right-hand corner. To

keep the files manageable and easy to use, apply the following techniques:

- Match the document's file name or number with the folder label before placing it in the folder.
- Remove all clips, pins, and rubber bands before filing.
- File material loosely in folders unless fasteners are needed to subdivide papers.
- Ensure that individual folders are not overcrowded. If they become overcrowded, add an additional folder.
- Keep folder labels visible.
- Crease the scoring at the bottom of the front folder leaf to allow papers and folders to rest squarely on the bottom of the file drawer as folders become filled with papers,
- Do not fill drawers to capacity. Leave about 4 inches of working space in each file drawer or shelf of records in addition to any space needed for expansion.
- File bulky, oversized material separately in storage equipment suited to its size and place a cross-reference with the related correspondence.
- Do not file duplicate copies in the official record.
- Place the file copy of an outgoing reply on top of all background and concurrence material and staple them together.
- Place a copy of the corresponding file plan at the beginning of each file.

(d) The Records POC:

- Ensures record copies meet the legibility and reproducibility standards established in Section 9.a.(2), Maintaining Legibility and Reproducibility.
- Controls file access. When a record is removed from its file location for any reason, that action and the responsible individual

should be identified and noted via the tracking system used (e.g., barcode system or “in/out” cards).

- Establishes either a fixed checkout period or a tentative return date as part of the tracking process. A period of 30 days is an adequate checkout period in most cases. The responsible Records POC must approve extensions beyond this time.
- Leads each organization’s file cleanout exercise, which is to occur annually by September 30.
- Refers to the current LM File Plan or consults with the RLO when conducting the cleanout to determine which inactive records may be dispositioned.
- Arranges a logical cutoff process for each filing method (chronological, alphabetical, etc.) used. Some types of records, such as those filed by date or in numerical order, naturally fall into chronological segments, and thus lend themselves to a natural cutoff. Other types of records—those filed alphabetically, geographically, or by subject—do not provide natural cutoff periods. They must be cut off arbitrarily, and new files must be started at regular intervals. Cutoff periods for all such files should be based on frequency of reference, volume, and retention periods.
- Facilitates the transfer of inactive record material requiring further retention to LM inactive storage and arranges for the disposition of any inactive nonrecord material.
- Notifies the RLO whenever a new file series is established so new series can be included in the LM File Plan.
- Assists their respective organization’s personnel during systematic examinations of all records and nonrecords within the organization. These examinations are conducted to verify and update the LM File Plan.

(3) Handling of Terminating Employee Records

The Records POC:

- (a) Coordinates the records checkout process for the terminating employee.
- (b) Interviews each terminating employee. The interview includes a discussion to determine the potential for record material in his or her

possession as well as an evaluation of all file drawers and shelves. At a minimum, applicable record tracking systems must be queried for records and other documents checked out to the terminating employee.

- (c) Ensures, in conjunction with the interview with a terminating employee or as a result of it, that the following activities occur:
- Personal papers are removed or destroyed.
 - Inactive records are identified and, if possible, inventoried and transferred to inactive storage.
 - Nonrecord material is identified and destroyed or transferred to an appropriate custodian.
 - Active records are identified and transferred to the appropriate custodian.
 - The recipient of record or nonrecord material identified for transfer acknowledges receipt of the material and assumes responsibility for it.

(4) Records Continuity

The Records POC:

- (a) Develops and implements an effective filing system, determining:
- The records that are necessary to document assigned functions and tasks.
 - The location of the records.
 - The most cost-effective method of filing the records.
 - The type of file equipment to be used.
- (b) Establishes controls to ensure legibility, accuracy, and the completeness of the organization's records by ensuring that:
- The page or sheet numbering series is complete.
 - All referenced reverse sides of pages are present.
 - All referenced attachments, tables, and appendixes are present.

- If applicable, the document has a file number and an appropriately placed bar code label.

c. Disposition**(1) Inactive Storage**

The RLO:

- (a) Transfers records to inactive storage when the records become inactive and their remaining retention period exceeds 1 year. Inactive storage provides low-cost controlled storage for holding inactive records until the retention period has expired or as otherwise specified for records turnover. Record material whose retention period has been met cannot be transferred to inactive storage.

Note: The RLO, with concurrence from the responsible manager, may transfer inactive records to an approved local off-site storage facility or to NARA for continued retention.

- (b) Assists employees' efforts to prepare records for storage. Typically, the Records POC reviews and signs the Records Transfer (DOE Form 1324.8, Records Transfer) before transferring the boxes (see Attachment H. – Inactive Storage Guidance).

(2) Disposition Plans and Destruction

The RLO ensures that disposition plans for all records are established and followed. Records retained beyond their usefulness or the completion of a project take up valuable space and cause confusion and uncertainty about their value. In many cases, personnel involved in the creation and use of the records are no longer present. Disposition plans should encompass:

- (a) Project records. The disposition of programmatic (project) records must result in the consolidation of records into one file system. The sponsor of the project record must give instructions about record disposition after completion of a project or after the usefulness of the record has ended.
- (b) Nonproject records. Normally, nonprogrammatic records are destroyed upon expiration of the retention period specified in the LM File Plan with concurrence from the responsible manager. Exceptions exist when DOE imposes a destruction freeze on a particular record series or when circumstances such as legal action result in the continued value of a record or series of records.

10. ATTACHMENTS.

- a. Attachment A. – LM Records Management Program Manual
- b. Attachment B. – Implementation Guide Table of Contents
- c. Attachment C. – Records Lifecycle
- d. Attachment D. – Records Management Flowchart
- e. Attachment E. – What is a record?
- f. Attachment F. – Special Media
- g. Attachment G. – Special Record Types
- h. Attachment H. – Inactive Storage Guide

Approved: Original signed by Celinda Crawford 2/9/06
Director
Office of Business and Resource
Management

Distribution: As required

Attachment A. – LM Records Management Program Manual

LM Records Management Program Manual	
Program Overview	LM RM Policy LM Electronic Mail Records Policy LM-1 Endorsement Letter LM Requirements Evaluation Matrix LM Document Hierarchy Definition LM RM Table of Contents LM RM Program Structure
LM RM Program Manual Chapters (Procedures)	Chapter 1 - Records Management Chapter 2 - Electronic Records Chapter 3 - Vital Records Chapter 4 - Classified, Sensitive, & Proprietary Document Handling Chapter 5 - LM File Plan Implementation Chapter 6 - Disaster Recovery Procedure Chapter 7 - Disaster Recovery Plan Chapter 8 - FOIA/PA Processing Chapter 9 - EEOICPA Processing Chapter 10 - Litigation Support Processing Chapter 11 - CERCLA Administrative Record Processing Chapter 12 - Training Plan New chapters will be identified and implemented as needed.

The documents listed above constitute the LM Records Management Program Manual. The LM Records Management Program Manual encompasses the following goals and objectives:

- Minimize the cost of records management activities and maximize the usefulness of records created by LM or inherited from closed DOE Office of Environmental Management facilities.
- Implement and maintain a robust program that promotes effective and economical records management through self-improvement practices.
- Effectively control the creation, collection, organization, maintenance, storage, use, and disposition of records in accordance with applicable Federal laws and regulations.
- Establish record-keeping requirements that ensure adequate and proper documentation of LM organizations, functions, policies, decisions, procedures, and essential transactions designed to furnish the information necessary to protect the legal and financial rights of the federal government and individuals directly affected by DOE activities.
- Routinely apply approved records retention and disposition standards to LM records.

- Ensure the prompt destruction of material when it is no longer needed.
- Ensure that Federal records are not removed from Government custody without proper authorization.
- Ensure that adequate resources (e.g., funding, staffing, training) are identified and provided for the management and operation of the LM Records Management Program.

Attachment B. – Implementation Guide Table of Contents

DOE Guide 1324.5B, Implementation Guide For 36 CFR Chapter XII – Subchapter B Records Management

A copy of the [implementation guide](#) is available in the
Records Management area of the LM Intranet.

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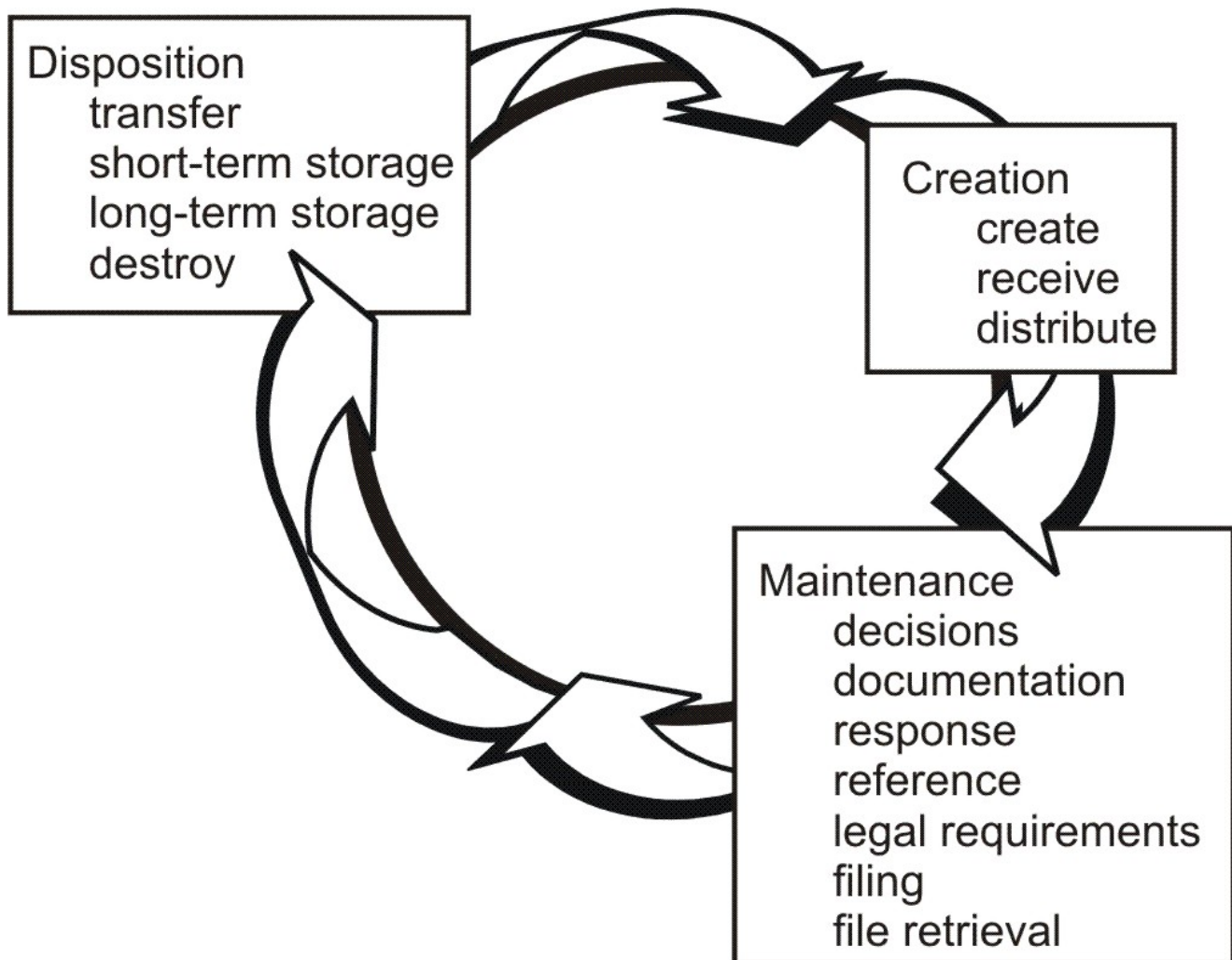
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Attachment C. – Records Lifecycle**a. Creation of Records**

The most fundamental step in developing a comprehensive records management program for any LM organization is to identify those records necessary to adequately document the organization's functions, policies, procedures, decisions, and essential transactions. LM organizations should identify those records they create and plan for their continued use, maintenance, and disposition or disposal.

A practical means of identifying the records created or received by an LM organization is to perform an inventory of its holdings. The inventory identifies and quantifies all the records maintained by that organization. In addition, summary data collected during the inventory establish the major filing categories for the organization's file plan and the foundation for maintenance and future disposition of the material.

The records inventory can also provide useful data to ensure that LM is:

- Adequately documenting its official actions,
- Maximizing use of filing equipment,
- Minimizing duplication of documents,
- Practicing proper records security, and
- Providing proper records protection.

An inventory provides the means for creating an effective and efficient filing system and becomes the baseline for developing records retention schedules. It also provides a useful tool for segregating and disposing of nonrecord material when it is no longer needed. Consequently, the inventory furnishes the organization with an accurate description of the records in the office and serves as the first step in developing a complete file management and disposition program for the organization.

b. Active Use and Maintenance of Records (Active Lifecycle)

One of the methods LM organizations will use to achieve efficiency during the “active use and maintenance” phases of a record’s lifecycle is to implement an effective filing system for active records. To develop and implement an effective filing system, each LM organization should determine:

- What records are necessary to document assigned functions and tasks,
- Where the records should be located,
- What filing arrangement is the most cost effective, and
- What type of file equipment should be used.

(1) Protection and Storage of Records

Federal government records must be protected from inadvertent loss or damage during all phases of their lifecycles. LM organizations and their contractors need to consider the consequences of any loss or damage and establish the level of protection necessary.

When possible, personnel should maintain records at centralized file locations. These centralized file locations help prevent the accidental removal or destruction of records when employees leave the organization and ensure effective retrieval, maintenance, and transfer.

Records must be stored to prevent damage from light, moisture, heat, or pest infestations. All records maintained in hard-copy form must be firmly attached to binders or placed in folders, envelopes, or boxes for storage in file cabinets or on shelves.

The following criteria should be considered when evaluating storage and protection requirements:

- Storage of records in predetermined locations,
- Management of records maintained in satellite or remote locations,
- Designation of Records POCs, and
- Rules governing access to, control of, and removal of records from the files.

(2) Protection and Storage of Special Media Records

LM shall ensure that provisions are established to protect records that require special handling, such as videotapes, photographs, or negatives. These types of records require protection from excessive light, pressure, moisture, electromagnetic fields, and heat.

c. Records Disposition

Records document the history of an organization and contain:

- Evidence of fiscal, financial, administrative, and legal commitments that must be preserved to protect the government;
- Information necessary to protect the civil, legal, and property rights of private citizens;
- The basis for continuity of policies, actions, and the organizational and procedural patterns for sound administration; and
- Valuable data and source information required to substantiate technical research and mission performance and accomplishment.

Effective records disposition requires a program that will control the records during their entire lifecycle. Development and implementation of such a program is vital to the economical management of an organization.

Unmanaged material interferes with the efficient, cost-effective management of an organization and requires the organization to absorb unnecessary costs in space and filing equipment. The LM records disposition program has these primary objectives:

- Preservation of records that are of long-term or permanent value,
- Prompt disposal of records and nonrecords that do not warrant further retention, and
- Retirement and economical storage of records no longer required to conduct normal business but are ineligible for immediate disposal.

(1) The LM File Plan and Records Schedules

One of the final stages in a record's lifecycle is the effective application of the LM File Plan to schedule records. This is accomplished by periodically reviewing the records created within the organization and effectively matching the records to a retention schedule as indicated by the LM File Plan. The material can then be retained for additional active life, destroyed, or transferred to the designated LM inactive storage facilities for further disposition.

The LM File Plan draws its retention schedule information from the NARA General Retention Schedules (GRS), DOE Administrative Schedules (DOE ADMIN) and DOE Programmatic Record Schedules.

To save each Federal agency and its contractors from recreating disposition guidelines for documents common to all agencies, NARA produced the GRS to identify and provide approved disposition criteria. DOE has modified some of the schedules in the GRS and calls the combined group of modified and unmodified schedules the DOE ADMIN. They contain schedules for records such as civilian personnel records, research and development records, electronic records, audiovisual records, Inspector General records, and records common to most offices within agencies.

(2) Programmatic Record Schedules

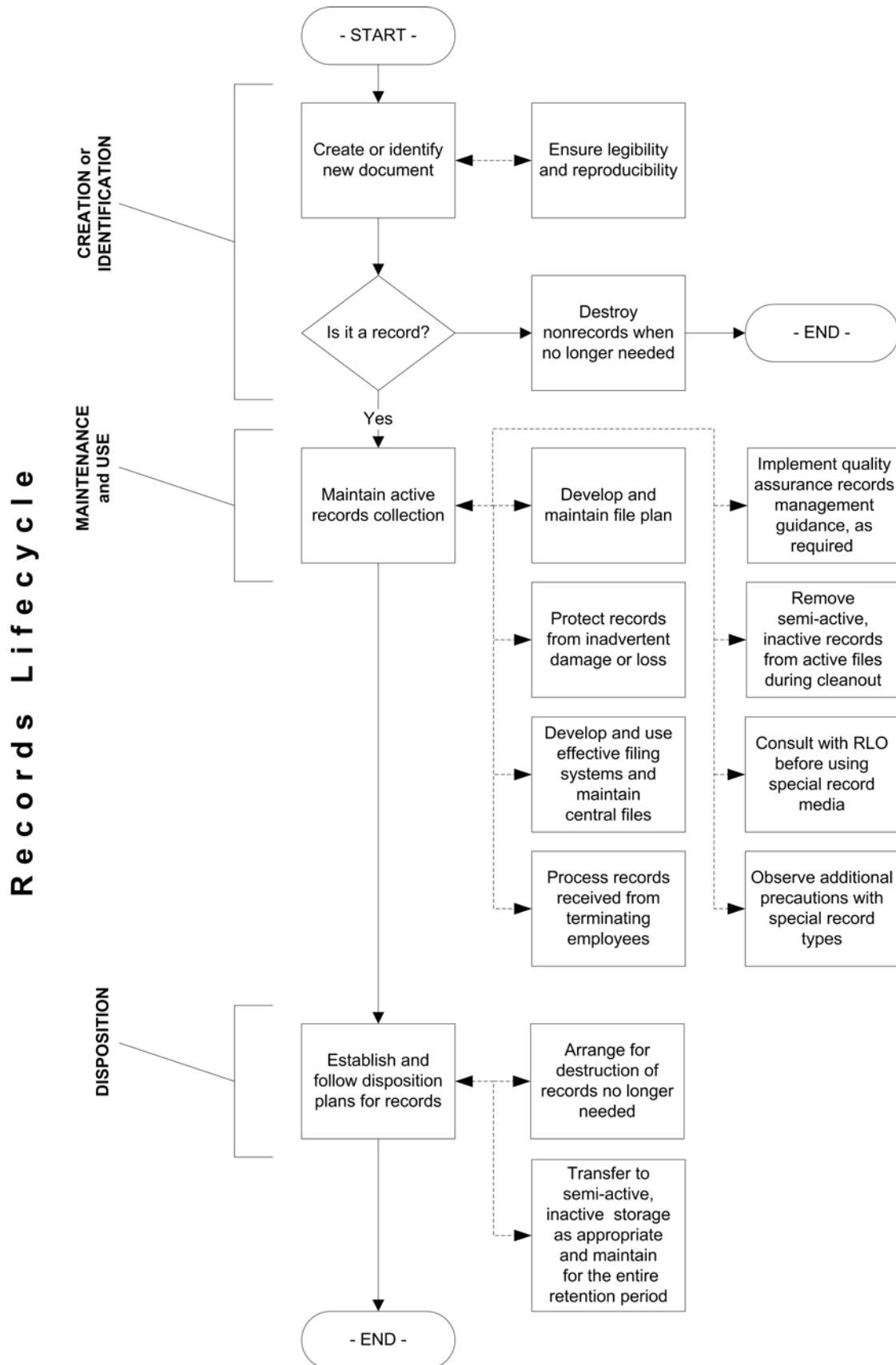
DOE has also developed and approved the DOE Programmatic Record Schedules, a series of schedules that identify records unique to DOE and its contractors. Some of the more important records included are environmental records, nuclear weapon records, research and development records, history division records, and Nuclear Waste Policy Act (NWPA) records.

A more complete list of DOE Programmatic Record Schedules is available through DOE's Office of the Chief Information Officer and also on the Chief Information Officer's website at <http://cio.doe.gov>.

The GRS and DOE ADMIN can only be applied to administrative-type records and cannot be used for program, project, or site technical records. These records will be identified, dispositioned, and preserved through other means established by NARA.

Both the GRS and the DOE ADMIN record schedules are available on the Internet. The GRS is accessible at <http://www.archives.gov>. The DOE ADMIN is available on the DOE CIO website at <http://cio.doe.gov>.

Attachment D. – Records Management Flowchart



Attachment E. – What is a record?

Reviewing the questions below can help you determine if your document is a record.

Indications a Document Is a Record

A “yes” response to *any* of these questions indicates that a document *is a record*:

- Are you or your organization the creator of the record? Did you generate or receive the information to use for your technical/administrative work in conducting agency business?
- Does it contain informational value as evidence of your organization’s functions, policies, decisions, procedures, operations, mission, programs, projects, or activities?
- Is it material that originated in another office or outside your agency, but you commented or took action on the material?
- Does it document business actions, such as: what happened, what was decided, what advice was given, who was involved, when it happened, the order of events and decisions?
- Is it an original document related to agency business that does not exist elsewhere?

Indications a Document Is a Nonrecord

A “yes” response to *any* of these questions indicates that a document likely *is not a record*:

- Is it a draft or interim document that has not been circulated to others or does not contain substantive comments and for which there is a final version being maintained?
- Is it published or processed information that you received and use as reference?
- Is it a copy of a document or correspondence kept only for convenience of reference on which no action is taken?
- Is it information accumulated and maintained at the workplace, but which does not affect or reflect the transaction of your program business?
- Is it junk mail or documentation that has no work-related informational or evidentiary value?

If there is a doubt as to whether your document is a record, contact your Records Liaison Officer for guidance.

Attachment F. – Special Media

This attachment provides descriptions for several special media types that may be used to store record material. It also includes information about their use and storage.

(a) Audiovisual Material

Audiovisual records include slides, photographs, negatives, audiotapes, videos, and slide and video presentations. When these media are to be used as record material, special care must be taken during creation and storage to ensure that the media will not deteriorate before the end of the record's lifecycle. If the records are to be maintained on optical or magnetic media, a compatible processing system must be available for the life of the record. In addition, complete traceability to project, exact location, and date must be maintained for the images.

Video and audio recordings—The preferred film for video recordings is 16 mm. A master and one copy of sound or videotape, with appropriate labeling, may be accepted as a record. The use of consumer format (e.g., videocassette tape) should be limited to distribution or reference copies. Audiocassettes are not sufficiently durable to be used for long-term or permanent records.

Photographic material—The preferred film for still photos is 35 mm. The negatives can be used for long-term retention and should be adequately annotated and indexed. The negatives should be considered inactive material and transferred to the central file for proper protection and storage.

Instant photographs—Instant photographs (e.g., Polaroid images) are appropriate only for short-term use. These prints deteriorate when exposed to light, moisture, and heat. This medium has a short-term lifecycle (5 to 7 years) and is best used as a “working copy” rather than record material. If a photograph will be needed for a longer period, 35 mm film should be used.

Digital photographs—To be accepted into permanent storage by NARA, digital photograph records must meet the standards published by NARA in *Expanding Acceptable Transfer Requirements: Transfer Instructions for Permanent Electronic Records—Digital Photographic Records*. This information is available on the NARA Internet (<http://www.archives.gov>).

Note: Many digital photographs in support of LM's mission have permanent value under DOE Administrative Records Schedule 21. This schedule also covers other types of photographic documentation.

Digital photographic files taken in support of LM are transferred from camera memory, associated with global positioning system (GPS) data, and stored on a network drive. The following additional information is required for photographs: date taken, activity and individuals shown, significance, the camera used, resolution, and format of the file.

(b) Drawings

Drawings, maps, sketches, and any other pictorial types of documents are considered acceptable media for Federal records. Personnel managing this type of material are responsible for adhering to the procedural controls for the creation, approval, maintenance, and revision control of these records until they are transferred to the central file or LM inactive storage.

Blue line prints—Blue line prints are appropriate only for short-term use (5-7 years). These prints fade quickly when exposed to light and are therefore best used as a “working copy.” Another medium must be used if the record will be needed longer than 7 years.

(c) Electronic Media

Electronic records are data in a form that can only be read and processed by a computer and meet both of the following conditions:

- They are made or received by the agency under Federal law or in conjunction with the transaction of public business; and
- They are preserved or are appropriate for preservation as evidence of agency activities or because of the value of the information they contain.

Electronic records may include data files and databases, machine-readable indexes, word processing files, electronic spreadsheets, and electronic mail, as well as other text or numeric information.

Before selecting an electronic medium for retention of records, the responsible manager must consider the ability to retrieve the information for the life of the electronic record (i.e., the long-term availability of the medium’s hardware and software). When long-term maintenance of hardware and software is impractical, hard copy is the only acceptable medium.

(d) Handwritten Logbooks

The responsible manager should determine the need for and the content of logs. This requirement should be based on existing regulations and input from others, as appropriate. In most cases, the log is considered a record, whether short-term or long-term, and should be treated as such.

Most logs are handwritten entries in logbooks and should be written in blue or black (preferably black) indelible ink on horizontally ruled pages. Logbooks should be titled on the outside front cover, and each page should be numbered sequentially. Individuals responsible for the logbook should draw a diagonal line through a page or portion of a page if it is intentionally left blank, then date and sign the page. When appropriate, provisions should be made for a reviewer’s authentication of the material.

The responsible manager must ensure that log entries are validated for completeness, accuracy, legibility, and reproducibility. To reduce the potential for loss of critical data in the logbook through physical damage or loss while in the field, a copy of the logbook's data should be maintained elsewhere, if appropriate. The responsible manager determines the need for a copy on the basis of risk and the potential adverse effect of lost data and establishes the frequency for creating a copy. The copy should be maintained separately until the logbook is retired, at which time either the logbook or its copy is maintained as the record, and the alternate version is disposed of.

(e) Micrographics

Micrographics is the science and technology of photographing documents and placing the miniaturized information on film (microfilming). Micrographics offers compact, economical, reliable storage for both active and inactive stages of the document lifecycle. The use of this technology could solve problems associated with preservation and dissemination of information as well as promote economic records storage.

Records on microfilm need as little as 2 percent of the space occupied by the same records in hard copy. Duplicates of microfilmed records can be made for a fraction of the cost of duplicating the hard-copy record. Microfilm also provides a means of reproducing active records that require multiple copies or are used by several people. Microfilming can be used to retain project records onsite when the original documents are released to the project sponsor.

As identified in approved task orders, the support contractor performs microfilming services for LM. These services may vary, depending upon the individual requirements, but generally consist of duplicating existing microfilm, microfilming documents on a regular schedule, assisting organizations in acquiring microfilm readers and printers, and assisting organizations in determining microfilm feasibility and requirements. The microfilm procedures used by the support contractor must satisfy both legal and archival requirements.

Attachment G. – Special Record Types

This attachment provides descriptions for several special record types and information about the use and storage of records within these categories.

(a) Epidemiologic Records

Epidemiologic and health-related records provide information about current and former employees who have worked at a DOE facility, when they worked at the facility, the tasks they performed, their exposure to potential health hazards, and the kind of health problems they may have experienced during or after employment.

In 1990, the Secretary of Energy ordered a moratorium on the destruction of any records that are important for the conduct of epidemiologic or health studies. This records destruction moratorium is still in effect. It applies to DOE and DOE contractors, and it currently includes preservation of existing and future records. DOE and contractor epidemiologic records must not be destroyed and must be retained until further notice. This restriction also applies to documentary evidence of nonexposure to potential health hazards.

The support contractor and Federal LM Records Program Official must ensure that records containing epidemiologic information are identified, protected from destruction, and preserved in accordance with approved NARA disposition criteria. Any employee whose duties require the handling of records that are subject to this moratorium should notify the contractor Records Lead or the Federal LM Records Program Official immediately.

Records containing epidemiologic information should be annotated in a file plan.

The types of epidemiologic records affected by this moratorium are those that provide:

- Personal data and payroll information about employees;
- Demographic information about individuals;
- Work history;
- Medical data, including any treatment, incidents, accidents, and health insurance;
- Mortality data;
- External radiation exposure for workers or plant areas;
- Internal radiation exposure records for individuals;
- Industrial hygiene, including chemical exposure and compliance demonstration;
- Physical agents, including exposure levels and compliance demonstration;

- Data pertaining to facilities (area and site monitoring information);
- Process and material controls; and
- Waste management.

(b) Moratorium Records

A Federal records moratorium is an officially authorized delay in a scheduled destruction of records. The issuance of the moratorium may be triggered by pending litigation (i.e., legal hold) that affects specific agency and program elements or a Federal audit of records. The focus of activity will be at the records management program level where the receipt and timely acknowledgment of the moratorium will result in appropriate action being taken to ensure that the records that meet moratorium requirements are identified and protected from destruction.

A robust liaison between responsible officials and the records management program must be developed and maintained to ensure that circumstances and events involved with a records moratorium are communicated quickly and accurately.

(c) Privacy Act Records

The Privacy Act of 1974 protects the security of personal information. Records maintained by LM contractors containing an item or collection of information bearing an individual's name, identifying number or symbol, or other personal identifying features are Privacy Act records. These records include, but are not limited to, personnel records, training records, security records, medical records, and any other records containing personal information.

Active Privacy Act records are to be maintained in locked file cabinets, with access limited to responsible contractor personnel. They will be adequately annotated and protected from unauthorized access when transferred to inactive storage.

The support contractor shall ensure that any contractor personnel whose duties require the handling of records that are subject to the Privacy Act must protect the integrity, security, and confidentiality of these types of records at all times. Privacy Act records cannot be disclosed to any person, or to another agency, by any means of communication, except pursuant to a written consent of the individual to whom the records pertain. If information is released without permission, the contractor could be liable for damages.

(d) Quality Records

In accordance with DOE Order 414.1C, Quality Assurance, a quality record is defined as a completed document or group of documents that furnishes evidence of the quality of items and activities affecting a quality process. Documents must be prepared, reviewed, approved, issued, used, and revised to describe processes, specify requirements, or

establish design. Records of this type must be prepared, identified, reviewed, approved, and maintained.

There are two designations of quality requirements: Standard-Level and Quality or Q-Level. The Standard-Level designation has minimum quality requirements; Q-Level has additional requirements for more stringent controls and safeguards. The quality requirements level is established commensurately with the value and importance of the information and the risk of loss or destruction.

The support contractor Project Manager, the responsible Quality Assurance Lead, and the corresponding project or site Records POC establishes the quality level and associated storage requirements for quality records. Annotation of the applicable designation levels should be noted in the appropriate file plan. Implementation of any special requirements beyond these procedures should be included in the applicable quality assurance plan and file plan.

(e) Vital Records

Vital records are records that are essential to the continued operation of government agencies during and after an emergency. These types of records also protect the legal and financial rights of the government and any individual affected by government activities.

According to 36 CFR 1236, Management of Vital Records, two categories of records are designated as vital:

- Emergency Operating Records—Records essential to the continued performance or reconstruction of the Federal Government during and after an emergency. Emergency operating records include those needed to continue critical agency operations, as well as those that assist DOE and its contractors in conducting operations under emergency conditions and in resuming operations after an emergency.
- Legal and Financial Rights Records (formerly defined as “right-and-interest” records)—Records essential to the preservation of the legal and financial rights of individual citizens and the government. Examples of these records include accounts receivable and accounts payable information, social security records, payroll records, retirement records, and insurance information.

The RLO and support contractor are responsible for ensuring that personnel are appropriately informed about vital records and their responsibilities for creation, maintenance, use, protection, and disposition of this type of information in accordance with the requirements specified in LM Procedure 200.1, Vital Records.

(f) Sensitive Information

(1) Classified Records

Classified records are stored for specific classified projects and are used only by employees with proper security clearances. This level includes Official Use Only (OUO) created between July 18, 1949, and October 22, 1951. If classified materials are found, the POC must notify the LM Records Program Official or the specific LM closure site Records Lead. Classified records will be tracked, handled, and dispositioned in accordance with established DOE orders regarding the handling of classified material.

(2) Sensitive Information

Some records contain sensitive information. Sensitive information will be marked with Applied Technology (AT), Unclassified Controlled Nuclear Information (UCNI), or OUO. Sensitive information must not be marked in a manner that would be confused with markings specified for classified information (e.g., CONFIDENTIAL).

Sensitive unclassified information must be protected against inappropriate release. Even though sensitive information is unclassified, it still must never be left unsecured when unattended. Sensitive information must be safeguarded in a locked cabinet and must be properly shredded when disposal is required.

(3) Proprietary Records

Proprietary records are those documents that are exclusively owned and controlled by LM or private corporations. Access to these records should be restricted to personnel with a “need to know.” The number of copies should be limited and tracked. Proprietary records must also be stamped or marked “Proprietary” and kept separate from Federal records. When they are no longer needed, all extra copies should be recalled and destroyed.

Attachment H. – Inactive Storage Guidance

(a) Preparation and Transfer

The following rules apply when preparing records and boxes for transfer to inactive storage:

- Magnetic, optical, and audiovisual materials will not be accepted in a records storage box. Contact Records Management if this material requires transfer.
- Segregate records into groups according to categories and required retention periods; the entire box will be retained until the oldest retention period is met.
- Only approved storage boxes can be used. Obtain boxes from the supply store, warehouse, or Records Management.
- Arrange records in the box so that they can be retrieved quickly and without damage. The records should not be packed tightly in the box.
- Remove hanging file folders (manila folders may be used).
- Provide an index of box contents. This index can be listed on the Records Transfer Transmittal form (one per box) or supplied as an attachment. For project records, the bar code numbers and associated descriptions should be generated by the records database and placed as an attachment.
- Place the original Records Transfer Transmittal inside the box and retain a copy until Records Management personnel return the verified copy. Retain the verified copy for your use and reference.
- Roll and transfer oversize drawings separately.
- Arrange for the boxes to be shipped to or picked up by Records Management for storage.

(b) Receipt

When the boxes are received, Records Management personnel:

- Review the record categories and retention periods to ensure retention is still required.
- Compare box contents with the transmittal form and any attachments, including individual bar code labels for project records.
- Affix a box number, bar-coded document label, and a Records Transfer Transmittal holder to the box.

- Record the assigned box number on the Records Transfer Transmittal.
- Enter all appropriate tracking and document transfer information into the appropriate tracking database.
- Sign the Records Transfer Transmittal, place one copy in the box's Records Transfer Transmittal holder on the box, return one copy to the records coordinator, and file the original.

(c) Records Retention and Retrieval

Records will be retained in the storage area until either the established retention period has expired or further transfer is required to comply with approved disposition. If further transfer is required, Records Management personnel will perform the necessary tasks, as applicable, including acknowledgment of receipt.

Individual records or boxes of records may be retrieved from inactive storage with the approval of the responsible organization. Records covered under the Privacy Act can be retrieved or viewed only by the responsible organization.